

Element Performance Inspection (EPI) Data Collection Tool

7.1.4 Director of Operations (OP)

ELEMENT SUMMARY INFORMATION

Purpose of this Element (certificate holder's responsibility):

- To ensure the certificate holder's manual contains the qualifications, duties, responsibilities, and the authority necessary so that the individual serving as the Director of Operations (or equivalent) may discharge those duties in a manner that ensures the highest degree of safety in the certificate holder's operations.

Objective (FAA oversight):

- To determine if an individual is serving full time in the capacity of the Director of Operations (or equivalent) meets the certificate holder's qualifications for the position, performs those duties and responsibilities, and exercises the authority in a manner that ensures the highest degree of safety in the certificate holder's operations.

Specific Instructions:

- Intentionally left blank

Related EPIs:

-

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirements (SRRs):

- SRRs:
 - 119.39(b)(3)
 - 119.65(a)(2)
 - 119.65(b)
 - 119.65(c)
 - 119.65(d)(1)
 - 119.65(d)(2)
 - 119.65(d)(2)(i)
 - 119.65(d)(2)(ii)
 - 119.65(d)(2)(iii)
 - 119.65(d)(2)(iv)
 - 119.65(d)(2)(v)
 - 119.65(d)(3)
 - 119.65(e)(1)
 - 119.65(e)(2)
 - 119.65(e)(3)
 - 119.67(a)(1)
 - 119.67(a)(2)
 - 119.67(a)(3)(i)
 - 119.67(a)(3)(ii)
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(3)
- A.006Management Personnel

Related CFRs & FAA Policy/Guidance:

- Related CFRs:
Intentionally left blank
- FAA Policy/Guidance:
FAA Order 8400.10, volume 2, chapter 2
FAA Order 8400.10, volume 3, chapter 1
FAA Order 8400.10, volume 3, chapter 8
HBAT 98-27

EPI SECTION 1 - PERFORMANCE OBSERVABLES

Objective: (FAA oversight responsibility): The tasks and questions in this section of the data collection tool (DCT) are designed to assist the inspector in determining if the certificate holder follows its written procedures and controls and meets the established performance measures of the process. To accomplish this, questions have been generated to test both the outputs of the process as well as the process itself. Question 1 and its following subquestions are directed at the output(s) of the process, whereas questions 2-4, when answered, should be directed at the process itself.

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
1.	Review the information listed in the Supplemental Information section of this DCT.
2.	Review the policies, qualifications, duties, responsibilities, and the authority granted to the Director of Operations (or equivalent) contained in the certificate holder's manual.
3.	Interview the individual serving as the Director of Operations (or equivalent).

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Determine whether the following performance measures were met:	
1.1.	Is the Director of Operations (or equivalent) position currently occupied by the individual identified in operations specifications paragraph A006? <i>Related Performance JTIs:</i> 1. Check at the certificate holder's specific location, against information at the FAA location, that the Director of Operations has been listed by title on paragraph A006 of the operations specifications, and that the certificate holder had the deviation, if applicable, for the Director of Operations listed in Operations Specifications paragraph A005 and A006, in accordance with the certificate holder's design. <i>Sources:</i> 119.65(c); 121.135(a)(1); 121.135(b)(1)	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.2.	Does the Director of Operations (or equivalent) meet the qualifications as stated in the certificate holder's manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
1.3.	Does the Director of Operations (or equivalent) satisfactorily fulfill the duties of the position, serving full time?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	Were the certificate holder's policies, contained in its manual for the Director of Operations (or equivalent), followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.	Were the Director of Operations (or equivalent) controls followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	Did the records for the Director of Operations (or equivalent) comply with the instructions provided in the certificate holder's manual?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

EPI SECTION 1 - PERFORMANCE OBSERVABLES Drop-Down Menu	
1.	Personnel.
2.	Tools and Equipment.
3.	Technical Data.
4.	Procedures, policies or instructions or information.
5.	Materials.
6.	Facilities.
7.	Controls.
8.	Process Measures.
9.	Interfaces.
10.	Desired Outcome.
11.	Other.

EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES

Objective: To determine if the person identified by the certificate holder as having responsibility and/or authority for the Director of Operations process is qualified, knowledgeable, and recognizes that responsibility and/or authority. (The person with the authority may or may not be the person with the responsibility.)

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
	NOTE: If no personnel or major program changes (as defined by the principal inspector (PI)) affecting the responsibility or authority attributes for this element have occurred since the last SAI and/or EPI was accomplished, then do not perform tasks 3-6, below. Answer questions 1 and 2, below, and provide the name/title.
1.	Identify the person who performs the duties and responsibilities of the Director of Operations (or equivalent) position for the certificate holder.
2.	Identify the person who exercises the authority of the Director of Operations (or equivalent) position for the certificate holder.
3.	Review the duties and responsibilities of the person(s) documented in the certificate holder's manual.
4.	Evaluate the qualifications and work experience of the person(s) above (or resume, if appropriate).
5.	Review the appropriate organizational chart.
6.	Discuss the Director of Operations (or equivalent) position with the person(s) serving in that capacity.

Questions

	To meet this objective, the inspector will answer the following questions:	
1.	Does the certificate holder have a clearly identified person performing the duties and responsibilities of the Director of Operations (or equivalent) position full time?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
2.	Does the certificate holder have a clearly identifiable person exercising the authority of the Director of Operations (or equivalent) position full time?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
3.	Does the individual serving as the certificate holder's full time Director of Operations (or equivalent) acknowledge the duties and responsibilities of this position?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
4.	Does the individual serving as the certificate holder's full time Director of Operations (or equivalent) acknowledge his/her duty to exercise the authority of this position?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change

EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES	
Drop-Down Menu	
1.	Assignment of responsibility.
2.	Assignment of authority.
3.	Does not understand procedures, policies or instructions and information.
4.	Does not understand controls.
5.	Does not understand process measurements.
6.	Does not understand interfaces.
7.	Span of control.
8.	Position vacant.
9.	Other.